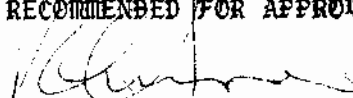





DEPARTMENT OF CORRECTIONS
AGENCY OF HUMAN SERVICES
STATE OF VERMONT

Per Commissioner
Hofmann's memo of
10/13/05, this directive
has been changed from a
security level "A"
(restricted access) to a
security level "B"
(unrestricted access).

SUBJECT REPORTING SECURITY INCIDENTS 405.02	EFFECTIVE DATE 03/26/01	REVIEWED AND RE-ISSUED	SUPERSEDES 11/10/00
RECOMMENDED FOR APPROVAL BY:  SIGNATURE	AUTHORIZED BY:  SIGNATURE		

AUTHORITY

Authority for this directive is derived from Policy 02, Policy, Directive and Procedure Development and Policy 405, Reporting Incidents.

PURPOSE

The purpose of this directive is to establish and outline a Process for the notification of managers and the reporting of incidents involving inmates, offenders, property, security breaches and staff. This directive will identify various categories of incidents and will outline the notification and reporting requirements for each.

APPLICABILITY/ACCESSIBILITY

Anyone may have a copy of this document. It was made available as of October 10, 2005.

DEFINITIONS

Inmate - An incarcerated person.

Offender - An incarcerated person or a person supervised on probation or parole, Supervised Community Sentence or pre-Approved furlough.

Notification - Verbal reporting of an incident, usually by the on-duty supervisor.

Reporting - Written reporting of an incident, to include database and staff and supervisory written reports.

Initial Report - Reporting by the respective supervisor, using the database. To be completed by the end of the respective shift.

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Final Report - All staff and supervisory written reports that are forwarded to the Director of Security and Supervision.

CATEGORY I INCIDENT - The most serious incidents fall into this category.

Institutions - The Superintendent is to be notified **ASAP**. The Director of Security and Supervision is to be notified within one hour. He/She will be responsible for notifying the Director of Correctional Services, who will, in turn, notify the Commissioner.

Reporting of the incident will be done using the database and will be referred to as the *initial report*. This will be completed by the respective supervisor before going off shift. All staff and supervisory reports will be forwarded to the Director of Security and Supervision within two working days. These will be referred to as the *Final Report*.

CCSC - The Superintendent is to be notified **ASAP**. The Assistant Director of Correctional Services is to be notified **ASAP**. He/She will notify the Director of Correctional Services, who will in turn notify the Commissioner. If unable to notify the Superintendent or Ass't Director, the Director of Correctional Services must be notified **ASAP**.

Reporting of the incident will be done using the database and will be referred to as the *initial report*. This will be completed by the involved staff member before going off shift. This *initial report* will be forwarded to the Director of Security and Supervision as well as the Assistant Director of Correctional Services. All staff and supervisory reports will be forwarded to the Assistant Director of Correctional Services within two working days. These will be referred to as the *final report*.

CRSU - The CRSU Supervisor is to be notified **ASAP**. The CRSU Director is to be notified within one hour. He/She will notify the Director of Correctional Services **ASAP**. If unable to notify the CRSU Supervisor or the CRSU Director, the notification will be made directly to the Director of Correctional Services.

CATEGORY II INCIDENT:

Institutions - Notification to the Site Manager will be within one hour of the incident. Notification to the Director of Security and Supervision must be within 24 hours. He/She must then notify the Director of Correctional Services on the next working day.

Reporting of these incidents will be done by the respective supervisor on the database before going off shift. All staff and supervisory reports must be sent to the Director of Security and Supervision within 5 working days.

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CCSC - Notification to the Site Manager will be within one hour of the incident. Notification to the Assistant Director of Correctional Services must be made within 24 hours. Notification to the Director of Correctional Services must take place the next working day. If the CCSC Superintendent and/or the Ass't Director are unavailable, then the Director of Correctional Services will be notified.

Reporting of these incidents will be done by the respective staff member within 24 hours, using the database, to the Assistant Director of Correctional Services as well as the Director of Security and Supervision. This will be the initial report. All staff and supervisory reports will be submitted to the Assistant Director of Correctional Services within 5 working days and will constitute the final report.

CRSU - The CRSU Supervisor is to be notified within one hour. The CRSU Director is to be notified within 24 hours. He/She will notify the Director of Correctional Services. If the CRSU Supervisor and/or the CRSU Director are unavailable, then the Director of Correctional Services will be notified.

CATEGORY III INCIDENT:

Institutions - Notification must be given to the Site Manager within 24 hours. Reporting, using the database must be done by the Shift Supervisor before going off shift. All staff and supervisory reports must be forwarded to the Director of Security and Supervision within 5 working days.

CCSC - Notification must be given to the Site Manager within 24 hours. Reporting, using the database, must be done by the respective staff member within 24 hours and forwarded to the Assistant Director of Correctional Services as well as the Director of Security and Supervision. All staff and supervisory reports must be forwarded to the Assistant Director of Correctional Services.

CRSU - The CRSU Supervisor is to be notified within 24 hours. Reporting using the database and casenotes will be completed within 24 hours of discovery of the incident. The Supervisor will use individual discretion on when to notify the CRSU Director.

Serious Injury - Any physical injury sustained which has the potential to cause death, disfigurement or physical impairment. This includes any injury resulting from stabbing, shooting, fire, explosion or physical or sexual assault.

Escape from Confinement - Inmate flight from any setting to which he/she has been physically confined.

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Employee Conduct - Any conduct that is detrimental to the best interests of the Department of Corrections. For example: employee job actions, criminal or non-criminal allegations, etc.

Dangerous Weapon - Any item that has the potential to be life threatening or cause substantial damage to state property.

Discharging of Department Issued Firearm - Any time a Department Employee discharges his/her weapon, accidentally or intentionally, other than target practice firing.

Escape from Custody - Inmate/Offender flight from armed law enforcement officer or from the custody of a correctional officer.

Reporting - Written reporting of an incident by staff.

I. DIRECTIVE

Incidents shall be categorized from the most serious (Category I) to the least serious (Category III), and shall be coded for MIS entry and analysis.

A. Incidents:**1. CATEGORY I INCIDENTS:**

<u>Primary Incident</u>	<u>Cause of Incident</u>	<u>Code</u>
Death	Murder	1-1-1
	Suicide	1-1-2
	Fire	1-1-3
	Explosion	1-1-4
	Use of deadly force	1-1-5
	Accident Type	1-1-6
	Other Type	1-1-7
Injury	Attempted Suicide	1-2-1
	Aggravated Assault	1-2-2
	Fire	1-2-3
	Explosion	1-2-4
	Sexual Assault	1-2-5
	Serious Use of Force	1-2-6
	Accident Type	1-2-7
	Other Type	1-2-8
Disturbance	Class II or Higher	1-3-1
	Hostage	1-3-2
Fire	Major Property Damage	1-4-1
	Evacuation	1-4-2
Escape	From Confinement	1-5-1
	From Custody	1-5-2

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Use of Force	Deadly Force	1-6-1
	Serious Physical Force	1-6-2
Use of Restraints	Restraints Applied More Than Two Hours	1-7-1
	Use of Authorized Restraining Agents:	1-7-2
	Mace, Etc.,	
	Baton	
	Shield, Leg Irons	
Contraband	Firearms	
	Explosives	1-8-1
	Gun	1-8-2
	Knife	1-8-3
	Other Weapon Type	1-8-4
Breach to Security/Operations	Loss Audio/Visual Comm.	1-9-1
	Electrical Failure	1-9-2
	Discharge of Firearm	1-9-3
	Any Serious Effect on Operations	1-9-4
Employee Conduct	Job Action, Demonstration	1-10-1
	Criminal Allegations	1-10-2
	Personnel Suspensions	1-10-3
Policy/Procedure Violations	All when threat to Life/	
Other	Safety results	1-11-1
		1-12-1

2. CATEGORY II INCIDENTS:

<u>Primary Incident</u>	<u>Cause of Incident</u>	<u>Code</u>
Injury	Minor Injury	
	Out Patient Care	2-1-1
Disturbance Fire	Class I	2-2-1
	Minor Fire/Smoke	2-3-1
	No Injury/Damage	2-3-2
Offender Unaccounted for	Failure to Return	2-4-1
Use of Force	Arrest of Offender	2-5-1
Use of Restraints	More than one hour,	
	Less than two hours	2-6-1
Contraband	Significant Drugs/	
	Alcohol	2-7-1
Breach to Security/Operations	Criminal Act on State Property	2-8-1

	Unauthorized Firearm on State Property	2-8-2
	Inmate/Offender Threat to Staff, etc.	2-8-3
	Loss of State Property	2-8-4
Employee Conduct	Non-Criminal Allegation	2-9-1
	Willful Misconduct	2-9-2
	Misuse/Abuse of State Property	2-9-3
Policy/Procedure Violations	Strip Search of Misdemeanant	2-10-1
	Strip Search of Incap	2-10-2
	Admission of Juvenile Offender	2-10-3
	Any, when Breach to Security/Operations Results	2-10-4
Other		2-11-1

3. CATEGORY III INCIDENTS:

<u>Primary Incident</u>	<u>Cause of Incident</u>	<u>Code</u>
Injury	Minor Injuries Requiring Treatment	3-1-1
Offender Unaccounted for	Absconder from Furlough	3-2-1
Use of Force	Any Occurrence not shown in Category 1 & 2	3-3-1
Use of Restraints	Any Occurrence not shown in Category 1 & 2	3-4-1

B. Reporting Incidents:

1. It is the responsibility of all Department staff to promptly and properly report all incidents through the work site chain of command.
2. Supervisors or those acting in a supervisory role will be responsible for both the notification of superiors, as outlined in the definition of each category, as well the initial and final reporting of all incidents.
3. All staff involved in or witnessing a reportable incident will submit a report to their respective supervisor that is thorough, complete, truthful and inclusive of everything that they witnessed or heard.

All and any statements from either staff or inmate witnesses will be thoroughly included or transcribed to the best of one's memory. Staff who may be unclear about their responsibility to submit a report should clarify their responsibility with their supervisor before going off shift, after an incident.

4. Notification efforts must be made according to the definition section. The reporter must move up through the notification chain of command until a connection is made with an individual.

C. Management Information System

1. All incident reports will be entered into the appropriate program in the Management Information System.
2. All institutions will maintain a log and files of all reportable incidents for a period of three (3) years.
 - a. The log will be chronological and will contain, at a minimum, the following information:
 - i. Date and time of incident;
 - ii. Type of incident by category and number;
 - iii. Inmates and/or other persons involved;
 - iv. Location of incident, i.e., (G-Pod 1).

D. Training

The Director of Security and Supervision will provide briefing instructions and handouts to the Ass't. Director of Correctional Services and the Directors of the CRSU's. The Operating Directors will present the briefing to the Site Managers. The Site Managers will present the briefing to their staff.

E. Quality Assurance

Facilities and field sites will be audited for compliance by the Director of Security and Supervision.